DOCUMENT RESUME

BD 088 276 PL 004 416

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TITLE

Cases and Clauses in Vietnamese.

PUB DATE

Jan 73

NOTE .

24p.; Paper delivered at the First International Conference on Austroasiatic Linguistics (Honolulu,

Hawaii, January 2-6, 1973)

EDRS PRICE

MF-\$0.75 HC-\$1.50

DESCRIPTORS

*Case (Grammar); Charts; Distinctive Features; Function Words; Language Patterns; Language Research; *Linguistic Theory: Matrices: Nominals: Sentence Structure: Statistical Analysis: Structural Analysis: Structural Grammar: Syntax: Tables (Data): *Tagmemic

Analysis; Uncommonly Taught Languages; *Verbs;

*Vietnamese

ABSTRACT

In this analysis of cases and clauses in Vietnamese, an attempt is made to make use of tagmemics and a case grammar model called lexicase. Such an eclectic combination of the two theories is not new either in the field of general linguistics or in Vietnamese. This paper recognizes the hierarchical levels in syntax and the grammatical unit or tagmeme as composed of a slot and a filler class; it recognizes the case relations between various mouns and the predicative verb in the clause; and it also recognizes the centrality of the verb. Lexicase introduces both overt case realizations and covert case relations into the grammar as syntactic features assigned to nouns by verbs. The data presented here include: 12 covert case relations in Vietnamese: 11 overt case realizations: a two-dimensional matrix yielding 25 possible combinations of covert case relations and overt case realizations (25 tagmemic slots); 14 verb groupings classed according to their hospitality to case-marked tagmemic slots; five clause types classed according to their identificational-contrastive features such as the nuclear tagmemic slots: 13 clause classes: and a bi-dimensional matrix of the clause types and the clause classes giving 64 possibilities or clause units, of which only 51 are grammatical in Vietnamese. The intention is to present the data rather than to defend the linguistic models used. (Author)

CASES AND CLAUSES IN VIETNAMESE

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٥. Introduction

In this analysis of Cases and Clauses in Vietnamese, an attempt will be made to make use of tagmemics (Brend 1970, 1972a, and 1972b, Cook 1969, Longacre 1964, Pike 1954, 1955, 1960, 1966, and 1971) and a case grammar model (Fillmore 1968, 1969, and 1971) called lexicase (Manley 1972, Starosta 1971a, 1971b, 1972a, 1972b, and 1972c, Taylor 1972). Such an eclectic combination of the two theories is not new either in the field of general linguistics (Cook 1970, 1971a, 1971b, and 1972, Heidi Platt 1970, John T. Platt 1971) or in Vietnamese (Liem 1971a, 1971b, and 1972). Case grammar studies on Vietnamese can be found in Clark 1971a and 1971b, Ha 1970, Manley 1969, Taylor 1968, and Tran 1971, and a tagmemic analysis of Vietnamese can be seen in Liem 1969.

In that this paper is tagmemically oriented, it recognizes firstly the hierarchical levels in syntax and secondly the grammatical unit or tagmeme ss composed of a slot and a filler class.

The concept of hierarchies in syntax makes it possible to single out and, bu the same token, unnecessary to write phrase structure rules (Chomsky 1965) in this paper. The grammatical slot of the tagmeme at the clause level has been pointed out by Becker (Becker 1967a and 1967b), Fries (Fries 1970), and Young, Becker, and Pike (Young, Becker, and Pike 1970) as having not only the overt syntactic relationships (case realizations) but also the covert meaning relationships (case relations) with the predicative verb.

In that this paper is also case grammar oriented, it recognizes the

the case relations between various nouns and the predicative verb in the clause (or proposition in Fillmore's terminology). However, it also recognizes the centrality of the verb (Chafe 1970). The type of case grammar called lexicase by its developer, Stanley Starosta, as utilized here introduces both overt case realizations and covert case relations into the grammar as syntactic features assigned

Because this paper intends to present data rather than to defend the linguistic models utilized, theoretical discussions will be kept to their absolute minimum. The reader is also referred to Vietnamese linguistic bibliographies in Thompson 1965, and Thompson and Thomas 1966.

to nouns by verbs (Starosta 1971a, 1971b, 1972a, and 1972b).

1. Cases

In Vietnamese, there seem to be twelve case relations whose definitions are taken from Fillmore 1968, 1969, and 1971 whenever necessary:

The AGENTIVE (AGT) case: the AGT actant as the "instigator of the event".

The OBJECTIVE (OBJ) case: the OBJ actant is the "most neutral" actant.

The DATIVE (DAT) case: the case of the "animated being affected by the state of, or experiencing the action of the verb".

The BENEFACTIVE (BEN) case: the BEN actant receives the benefit of the action identified by the verb.

The COMITATIVE (COM) case: the COM actant accompanies another actant in the verbal activity or state described.

The INSTRUMENTAL (INS) case.

The LOCATIVE (LOC) case: The LOC actant indicates the location.

The DIRECTIONAL (DIR) case: the DIR actant indicates the direction toward which motion occurs.

The TIME (TIM) case: the TIM actant identifies the time-setting of the action or state identified by the verb.



The SOURCE (SRC) case: the SRC actant indicates the location or time from which action has begun.

The GOAL (GOAL) case: the GOAL actant indicates the location or time toward which action occurs.

The EXTENT (EXT) case: the EXT actant indicates the space or time through which action or state identified by the verb has occurred.

Out of the twelve cases, only the AGENTIVE and OBJECTIVE cases are nuclear in the clause, the DATIVE, BENEFACTIVE, and INSTRUMENTAL cases are semi-nuclear

in the sense that they can be hosted only by certain verb classes, and the rest of the cases, COMITATIVE, LOCATIVE, DIRECTIONAL, TIME, SOURCE, GOAL, and EXTANT are satellite in that they occur with most verbs except those otherwise marked.

The twelve covert case relations are pigeon-holed in eleven overt case realizations of which some are marked by their positions vis-a-vis the verb, and some are marked by prepositions. The case realizations are:

- NM Nominative position immediately preceding the verb, no prepositions.
- O Objective position immediately following the verb, no prepositions.
- Dative realization with preposition cho. (This preposition and all the following ones except voi and bang are co-verbs. For discussion and examples, see Thompson 1965:230-234).
- I Instrumental realization with preposition bang.
- B Benefactive realization with prepositions gium or ho.
- C Comitative realization with preposition voi.



•					3
Tr.	Locative	realization	with	preposition	o.

Di Directional realization with prepositions such as <u>lên</u>, <u>xvong</u>, <u>qua</u>, <u>lai</u>, etc.

SR Source realization with preposition tw.

GL Goal realization with prepositions toil or den.

EX Extent realization with preposition <u>ducc</u>.

The twelve covert case relations and the eleven overt case realizations can be charted in a two-dimensional matrix yielding twenty five possibilities as in Chart I below:

CHART I

		1	, 2	3	4	5	6	7	8	9	10	11
		NM	0	D	В	С	I	L	Di	SR	GL	EX
1	AGT	1										
2	ОВЈ	2	6									
3	DAT	3	7	15								
4	BEN		8	16	17							
5	COM					18						
6	INS	4	9				19					
7	LOC	5	10					20				
8	DIR		11						22			
9	TIM		12									
10	SRC							21	•	23		
11	GOAL		13								24	
12	EXT		14									25

The twenty five possible combinations of covert case relations and overt case realizations can be arrived at by applying case-related redundancy rules which are not specified here but which can be drawn from the following Chart II.



Chart II begins with [+K] for case positivity and ends with the twenty five tagmemic slots (covert case relations and overt case realizations) already stated in Chart I in another way. Following are examples of the tagmemic slots, whereas their filler classes will be discussed along with the classification of verbs in Vietnamese:

- 1. [+NM, +AGT] is hosted by transitive agentive (i.e. -submissive, and -dative) verbs.
 - 1. Ong ay mua bao.

 he bought newspapers.

 [+0]

 +AGT

 [+0]
- 2. [+NM, +OBJ] is hosted by copulative, stative, and intransitive verbs.
 - 2.1. Ong ấy là bác-sĩ.

 he is a doctor.

 [+NM] [-K]
 - 2.2a. Ông ấy chậm lắm. he is slow very. (he is very slow) [+NM] (Adverb) +OBJ
 - 2.2b. Ong ay lanh lam.

 he is cold very. (he is very cold)

 [+NM] (Adverb)
 - 2.2c. Ong ấy chết. he died. [+NM] +OBJ
 - 2.3a. Ong ay & Salgon.

 he stays in Salgon.

 [+NM] [+0]
 - 2.3b. Ong ay ra Saigon.

 he went out to Saigon.

 [+NM]
 [+OBJ]
 [+DIR]

2.3d. Ong ay tới Saigon.
he arrived in Saigon.
+NM +OBJ +GOAL

3. [+NM, +DAT] is hosted by transitive submissive (b) and disc) and transitive dative verbs.

3.1b. Ong ay b! ho danh.

he was forced they beat (he was beaten by them)

[+NM]

[+O]

[+OBJ]

3.2a. Ong ấy biết bà ấy. he knows her. [+NM] [+O] +DAT] (+OBJ)

3.2b. Ong ấy biết (rằng) bà ấy đi rồi.

ha knew (thát) she had gone already.

[+0.7]

3.2c. Ong ay muon (rang) ba ay di roi.

he wanted (that) she went already.

HNM HDAT HOBJ

3.2d. Ong ay muon (cho) ba ay di roi.

he wished (that) she had gone already.

[+NM]

[+DAT]

[+OBJ]

- 4. [+NM, +INS] is hosted by transitive agentive and intransitive verbs.
 - 4.1. Dao nay cat thit.

 kuife this cuts meat. (this knife cuts meat)

 HNM
 HOBJ

It is noted here that only "potent" nouns can occur in the [+NM, +INS] slot.

4.2. Xe nay di Salgon.

vehicle this goes to Salgon. (This vehicle goes to Salgon)

+NM
+IMS

+DIR

- 5. [+NM, +LOC] is hosted by stative verbs.
 - 5. Phong nay lanh.
 room this is cold. (this room is cold)
 [+NM]
 +LOC

For a special class of nouns occurring in this slot, see Thompson 1965:200-203 who calls them "relator nouns" while Starosta calls similar nouns in Sora "Noun auxiliaries" (Starosta 1967).

- 6. [+0, +0BJ] is hosted by transitive verbs.
 - 6.1. Ong ấy mua sách.

 he bought books.

 [+NM]

 [+O]

 [+OBJ]
 - 6.2. Ong ấy biết chuyện ấy.

 he knows story that. (he knows that story)

 [+NM]
 [+O]
 [+OBJ]
- 7. [+0, +DAT] is hosted by ditransitive dative verbs.
 - 7. Ong ấy bán tôi sách. he sold me books [+NM] [+O] [+O] +AGT] (+OBJ]
- 8. [+O_{***}+BEN] is hosted by ditransitive benefactive verbs. It is noted that is construction is always ambigious, and therefore is usually avoided.
- 9. [+C, +INS] is hosted by transitive or intransitive verbs. (Perhaps, there are only special transitive verbs that can

host [+0, *INS].)

- 9.1. Ong ay dung dao.

 he used knives.

 +NM +AGT +O +INS

10. [+0, +LOC] is hosted by intransitive locative verbs.

11. [+0, +DIR] is hosted by intransitive directional verbs.

12. [+0, +TIM] is hosted by any verb, thus may be considered as being a sentence tagmemic slot and consequently is not a case.

13. [+0, +GOAL] is hosted by intransitive +goal verbs.

14. [+0, +EXT] is hosted by any verb except those marked otherwise.

15. [+D, +DAT] is hosted by transitive agentive verbs.

16. [+D, +BEN] is hosted by transitive and intransitive verbs. (It is an ambiguous construction because

17. [+B, +BEN] is hosted by transitive and intransitive verbs.

18. [+C, +COM] is hosted by any verb except those marked otherwise.

- 19. [+I, +INS] is hosted by transitive, intransitive, and some stative verbs such as chet 'to die'.

- 20. [+L, +SRC] is hosted by intransitive verbs, and could be thought of as [+L, +LOC] or even as [+O, +LOC]
 - if o to stay in the following example were considered as the main verb of the clause.
- 21. [+L, +LOC] is hosted by any verb except those otherwise marked.
 - 21. Ong ấy mua sách ở Mỹ.

 he bought books in America.

 [+XM]
 [+0]
 [+LOC]
- 22. [+Di, +DIR] is hosted by transitive and intransitive verbs.
 - 22.1. Ong ấy đem sách lên Salgon.
 he brought books up to Salgon.

 [+RM] [+O] [+D1] [+DIR]
- 23. [+SR, +SRC] is hosted by all verbs if it means a time source, and by most verbs except those marked otherwise if it means a place source.
 - 23.1. Ong sy di từ Mỹ.

 he went from America.

 [+SR]

 +SRC]
 - 23.2. Ong ay dl từ hôm qua.

 he went since yesterday.

 [+NM]

 +OBJ]

 [+SR]

 -SRC]



24. [+GL, +GOAL] is hosted by all verbs if it means a time goal,
and is hosted by most verbs except those marked otherwise if it means
a place goal.

25. [+EX, +EXT] is hosted by all verbs if it means a time extent,
and is hosted by most verbs except those otherwise marked when it means
a place extent.

Theoretically, given a verb that is hospitable to all the tagmemic slots, all the twenty five slots could appear in one single clause. However, because what is already known in larger linguistic or situational contexts is not necessarily repeated, only some of them occur in the same clause. When they co-occur in the same clause, there seems to be a relative order of case realizations as follows, with the ones on vertical lines being fluctuant among themselves:

When there are many case realizations in a clause, one of them, and usually the time case realization, is topicalized and moved to the front position of the clause.

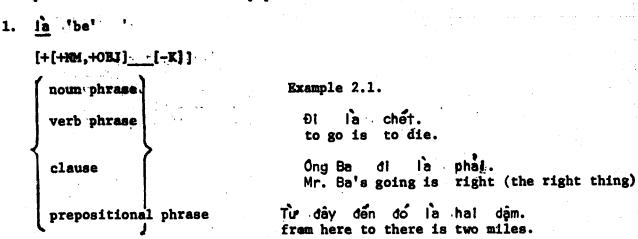
Any clause level slot, whether neclear such as the [+NM, +AGT], or semi-nuclear such as the [+O, +DIR], or satell#te such as the [+T, +TIM]



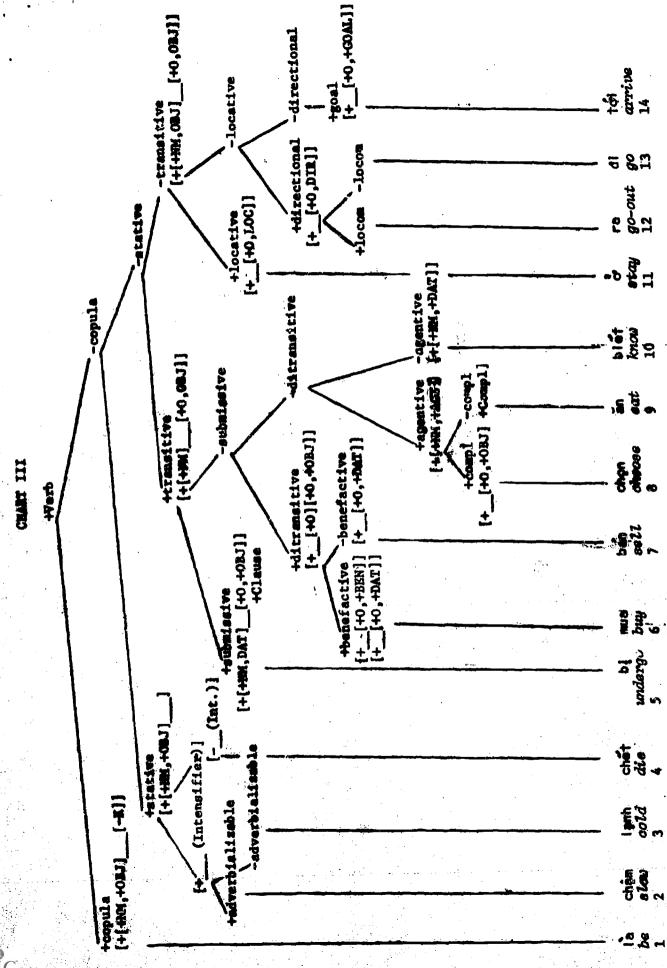
can be omitted when it is clearly understood in higher linguistic hierarchies than the clause itself. For example, the reply in this two-sentence conversation does not have its [+NM, +OBJ] because it is clearly understood:

2. Verbs

According to their hospitality to case-marked tagmemic slots, verbs in Vietnamese can be classified into fourteen groups as indicated in Chart III. The fourteen verbs representative of their classes will be listed below with their hospitable case-marked tagmemic slots. It is noted that all of the case-marked tagmemic slots, except the slot [+0, +OBJ] hosted by submissive verbs, are filled by noun phrases. When they can be filled by other than noun phrases, they will be so indicated below. Numbers will refer to the examples found earlier in this paper.







chậm 'slow', stative, adverbializable. [+[+NM,+OBJ]___(Intensifier)] Example 2.2a. Adverbializable as in: Ong ay châm. đi went slowly. lanh 'cold', stative, not adverbializable. [+[+NM,+OBJ]___(Intensifier)] Example 2.2b. 4. chet 'die', stative, cannot be followed by adverbs. (There are also reasons to classify these verbs in the intransitive group). [+[+NM.+OBJ]] Example 2.2c. 'to be adversely affected', transitive submissive. [+[+NM,+DAT] [+0,+OBJ]] {clause } Examples 3.1a and 3.1b. 'buy', ditransitive, +BEN. [+[+NM,+AGT] [+O,+BEN] [+O,+OBJ]] Example 8. ban 'sell', ditransitive, +DAT. [+[+NM,+AGT] [+0,+DAT] [+0,+OBJ] Example 7. chon 'choose', transitive, ±complement. [+[+NM,+AGT] [+0,+OBJ] +complement] Example: ba ay lam dai-diện. chon to be representative chose her +complement 9. an 'eat', transitive, -complement. [+[+NM,+AGT] [+O,+OBJ]]Example: Ong ay ăn thit. eats meat. 10. blet 'know', transitive dative. [+[+NM, \DAT] [+0,+0BJ]] {noun phr.} Example 3.2a. Examples 3.2b, 3.2c, and 3.2d. A sub-classification of this group of verb can be done according can be

to whether their objective clause

introduced by rang 'that' as

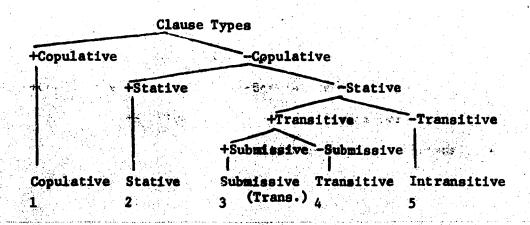
is the case of biet 'know' in example 3.2b or by either by rang 'that' or cho 'so that' as is the case of muon 'want' in examples 3.2c and 3.2d.

- 11. $\underline{\overset{\bullet}{\sigma}}$ 'stay at, live at, be at', intransitive, locational. [+[+NM,+OBJ] [+0,+LOC]] Example 2.3a.
- 12. ra 'go oút', intransitive, directional, +locomotion.
 [+[+NM,+OBJ]__[+O,+DIR]] **xample 2.3b.
- 13. dl 'go', intransitive, directional, -locomotion.
 [+[+NM,+OBJ]__[+O,+DIR]] Example 2.3c.
- 14. tot 'arrive', intransitive, +goal.
 [+[+NM,+OBJ]__[+O,+GOAL]] Example 2.3d.

3. Clause Types

According to their identificational-contrastive features such as the nuclear tagmenic slots (Longacre 1964), clauses in Vietnamese can be classified into five types as in Chart IV below.

CHART IV





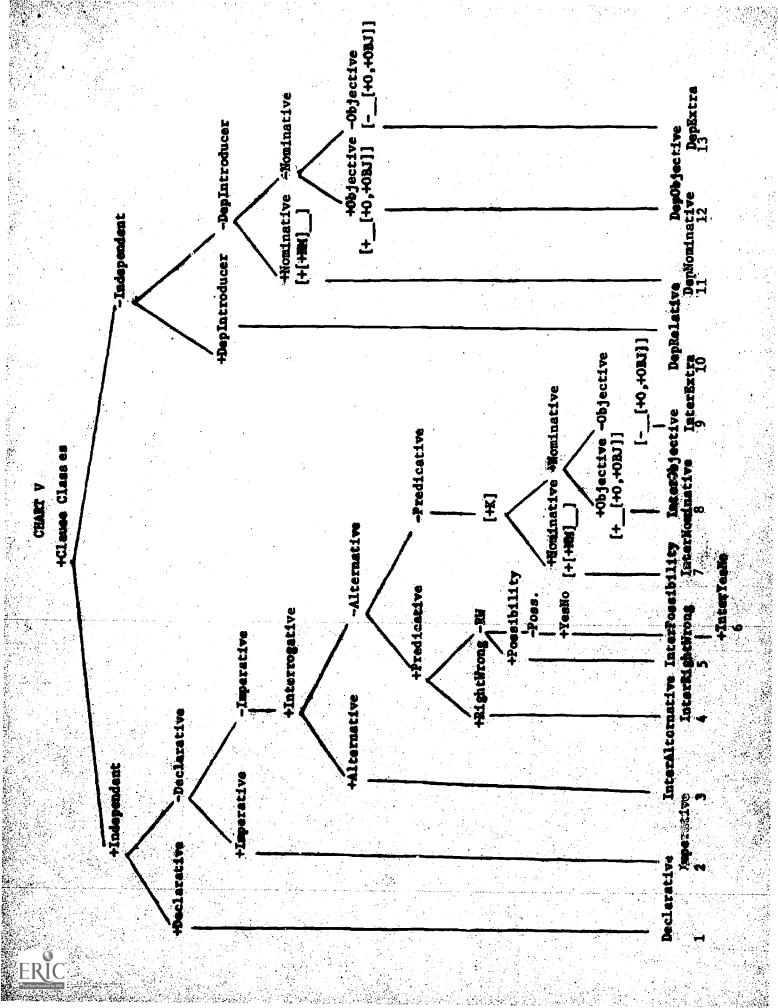
It is noted that the classification of clauses into clause types is parallel to that of verbs in Chart III, and that the five clause types can be subclass into fourteen allo-types just like verbs are classified into fourteen groups.

For reading convenience, examples of the five clause types are repeated below. Only pertinent tagmemic slots and pseudo-features of verbs will be given.

4. Clause Classes

Besides the dimension of clause types, there is also the dimension of clause classes. The thirteen clause classes in Vietnamese are stated in Chart V below.





1. Declarative Clause Class. It is the kernel clause class from which all the other eleven clause classes are derived when appropriate transform rules (Longacre 1964) are applied. All the examples so far given are declarative clauses. The example below will serve as kernel for all the derived clause classes.

Ong ay mua bao.

he bought newspapers.

[+NM] [+verb][+O]

[+AGT] [+trans][+OBJ]

2. Imperative Clause Class. Its clauses are identified by their imperative predicate (i.e. having hay 'would better', dung 'would better not, etc.)

Ong hay mua bao.
You (Mr.) 'd better buy newspapers.

3. Interrogative Alternative Clause Class. Its clauses have one of their tagmemes alternated by a similar one.

Ong ay mua bao hay sach?

Did he buy newspapers or books?

[+0] [+alt] [+0]

[+0BJ]

+imperative

4. Interrogative Right-Wrong Clause Class. Its clauses have a right-wrong interrogative phrase at the end.

Ong ay mua bao, pha! không?
he bought newspapers right not? (he bought newspapers, didn't he?)
[+RightWrong]

5. Interrogative Possibility Clause Class. Its clauses have a possible-interrogative impossible phrase at the end.

Ong ay mua bao, dugc không?
he bought newspapers possible not (he bought newspapers, OK?)

[+Possibility]

6. Interrogative Tes-No Clause Class. Its clauses have a negative interrogative phrase at the end.

Ong ay mua bao không? he buy books no (Does he buy newspapers?)



7. Interrogative Nominative Clause Class. Its clauses have an interrogative nominative actant.

```
Al mua bao?
who bought newspapers?

+NM
+AGT
+Interr
```

8. Interrogative Objective Clause Class. Its clauses have an interrogative objective actant.

9. Interrogative-Extra Clause Class. Its clauses have an interrogative satellite actant, for example Times

10. Dependent Relative Clause Class. Its clauses are introduced by rang 'that' or cho 'so that', and fill the Objective slot of the embedding clause.

11. Dependent Nominative Clause Class. Its clauses have a dependent nominative actant which may be omitted.

Người (mà) mua báo... the person that bought newspapers...



12. Dependent Objective Clause Class. Its clauses have a dependent objective actant which may be omitted and which is pre-posed to the position before the nominative actant when present.

13. Dependent-Extra Clause Class. Its clauses have a dependent satellite actant, for example Time, which is pre-posed to the position before the nominative actant or omitted all together.

5. Clause Units

The five Clause Types and the twelve Clause Classes form a bi-dimentional four matrix giving sixty/possibilities or Clause Units of which only fifty one are grammatical in Vietnamese. The 51 Clause Units are listed in the following Chart VI.

Chart VI

N			1	2	3	4	5	6	7	8	9	10	11	12	
Clause Classes Clause Types		Declarative	Imperative	InterAltern	InterRWrong	InterPossib	InterYesNo	InterNM	InceroBJ	InterExtra	DepRelative	DepNM	DepOBJ	DepExtra	
	1	Copulative	X		X	X			×		×	×	×		×
	2	Stative	X	(X)	×	×		×	×		×	×	×	7	X
	3	Submissive	X		X	×		×	×	×	M	×	×		×
	4	Transitive	X	X	×	×	×	M	×	×	M	×	×	×	×
	5	Intransitive	X	Q	X	M	×	×	×		×	×	×		×

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